

JFM 10-4-78
JFM

File - EO 12065

THE WHITE HOUSE
WASHINGTON

September 29, 1978

MEMORANDUM FOR:

Dr. James B. Rhoads
Acting Chairman
Interagency Classification
Review Committee

SUBJECT: Implementing Directive for
Executive Order 12065 on
National Security Information

The draft implementing directive for Executive Order 12065 on National Security Information and the comments of the ICRC, submitted with your letter of September 19, 1978, have been reviewed, and further revisions have been made. The attached directive, as revised, is approved for issuance and publication.


Zbigniew Brzezinski

Enclosure

INFORMATION SECURITY OVERSIGHT OFFICE

DIRECTIVE No. 1

CONCERNING

NATIONAL SECURITY INFORMATION

This Directive is issued pursuant to the provisions of Section 6-204 of Executive Order 12065. The purpose of the Directive is to assist in the implementation of Executive Order 12065, and users of the Directive shall refer concurrently to the Executive Order for guidance.

TABLE OF CONTENTS

Section I.	ORIGINAL CLASSIFICATION:	
A	Definition	2
B	Classification Authority	2
C	Request for Classification Authority	3
D	Record Requirements	3
E	Classification Procedure	3
F	Foreign Government Information	3
G	Standard Identification and Markings	4
H	Additional Markings Required	9
I	Abbreviations	10
Section II.	DERIVATIVE CLASSIFICATION:	
A	Definition	11
B	Responsibility	11
C	Marking Derivatively Classified Documents	12
D	Classification Guides	13
Section III.	DECLASSIFICATION AND DOWNGRADING:	
A	Record Requirements	14
B	Declassification Policy	14
C	Systematic Review for Declassification	14
D	Procedures for Mandatory Declassification	18
	Review	

2

Section IV.	SAFEGUARDING:	
A	General	22
B	General Restrictions on Access	22
C	Access by Historical Researchers and Former Presidential Appointees	23
D	Dissemination	23
E	Accountability Procedures	23
F	Storage	24
G	Transmittal	28
H	Loss or Possible Compromise	31
I	Destruction	31
Section V.	IMPLEMENTATION AND REVIEW: Challenges to Classification	32
Section VI.	GENERAL PROVISIONS:	
A	Notification	32
B	Posted Notice	32
C	Downgrading, Declassification, and Upgrading Markings	33
D	Combat Operations	33
E	Publication and Effective Date	34

I. ORIGINAL CLASSIFICATION

A. Definition. "Original classification" as used in the Order means an initial determination that information requires protection against unauthorized disclosure in the interest of national security, and a designation of the level of classification.

(1)*

B. Classification Authority. In the absence of an authorized classifier, anyone designated to act in that person's absence may exercise the classifier's authority. (1-204)

*Parenthetical references are to related Sections of Executive Order 12065.

C. Request for Classification Authority. Requests for original classification authority for agencies not listed in Section 1-2 of the Order shall be submitted to the President through the Information Security Oversight Office. Requests shall include: (1) the designation of the officials for whom or positions for which authority is sought, (2) the level of authority requested, and (3) the justification for such requests, including a description of the type of information that is anticipated to require original classification. (1-2)

D. Record Requirements. Agencies and officials granted original classification authority pursuant to Section 1-2 of the Order shall maintain a current listing, by classification designation, of individuals to whom or positions to which original classification authority has been delegated. (1-2)

E. Classification Procedure. Except as provided in Section 1-303 of the Order, the fact that the information concerns one or more of the qualifying criteria or categories of information shall not create any presumption as to whether the information meets the damage tests. (1-302 and 1-303)

F. Foreign Government Information.

1. Identification. "Foreign government information" is:

a. Information provided to the United States by a foreign government or international organization of governments in the

expectation, express or implied, that the information is to be kept in confidence; or

b. Information produced by the United States pursuant to a written joint arrangement with a foreign government or international organization of governments requiring that either the information or the arrangement, or both, be kept in confidence. Such a written joint arrangement may be evidenced by an exchange of letters, a memorandum of understanding, or other written record. (1-303 and 6-103)

2. Duration of Classification. Unless the guidelines developed pursuant to Section 3-404 of the Order or other guidelines prescribe dates or events for declassification or for review for declassification:

a. Foreign government information shall not be assigned a date or event for automatic declassification unless such is specified or agreed to by the foreign government or international organization of governments.

b. Foreign government information classified after the effective date of the Order shall be assigned a date for review for declassification up to thirty years from the time the information was classified or acquired. (1-402 and 3-404)

G. Standard Identification and Markings. At the time of original classification, the following shall be shown on the

face of paper copies of all classified documents:

1. Identity of Classifier. The identity of the classifier, unless also the signer or approver of the document, shall be shown on a "classified by" line; e.g., "Classified by John Doe" or "Classified by Director, XXX." (1-501(a))
2. Date of Classification and Office of Origin. The date and office of origin on a document at the time of its origination may be considered the date of classification and identification of the office of origin. (1-501(b))
3. Date or Event for Declassification or Review. The date for automatic declassification or for declassification review shall be shown on a "declassify on" or a "review for declassification on" line; e.g., "Declassify on 1 November 1984," "Declassify on completion of state visit," or "Review for declassification on 1 November 1998." (1-501(c))
4. Downgrading Markings. When it is determined (e.g., in a classification guide) that a classified document should be downgraded automatically at a certain date or upon a certain event, that date or event shall be recorded on the face of the document; e.g., "Downgraded to Secret on 1 November 1990" or "Downgraded to Confidential on 1 December 1985." (1-5)

5. Identity of Extension Authority. The identity of the official who authorizes a date for declassification or for review for declassification that is more than six years beyond the date of the document's classification shall be shown on the document, unless that official also is the classifier, signer, or approver of the document. This marking shall be shown substantially as follows: "Extended by (Insert name or title of position of agency head or Top Secret classification authority)." (1-502)
6. Reason for Extension. When classification is extended beyond six years, the reason shall be stated on the document either in narrative form or by reference to an agency regulation that states the reason for extension in narrative form. The reason shall be shown substantially as follows: "Reason for extension: (State reason or applicable reference)." (1-502)
7. Overall and Page Marking of Documents. The overall classification of a document shall be marked, stamped, or affixed permanently at the top and bottom of the outside of the front cover (if any), on the title page (if any), on the first page, and on the outside of the back cover (if any). Each interior page of a classified document shall be marked or stamped at the top and bottom either according to the highest classification of the content of the page, including

the designation "Unclassified" when appropriate, or according to the highest overall classification of the document. In any case, the classification marking of the page shall not supersede the classification marking of portions of the page marked with lower levels of classification. (1-501(d))

8. Subjects and Titles. Whenever practicable, subjects and titles shall be selected so as not to require classification. When the subject or title is classified, an unclassified identifier may be assigned to facilitate receipting and reference. (1-5)

9. Mandatory Portion Marking. Classifiers shall identify the level of classification of each classified portion of a document (including subjects and titles), and those portions that are not classified. Portion marking shall be accomplished by placing a parenthetical designator immediately preceding or following the text that it governs. The symbols "(TS)" for Top Secret, "(S)" for Secret, "(C)" for Confidential, and "(U)" for Unclassified shall be used for this purpose. If individual portion marking is impracticable, the document shall contain a description sufficient to identify the information that is classified and the level of such classification. A waiver of the portion marking requirement may be granted by the Director of the Information Security Oversight Office. Requests for such

waivers shall be made by the head of an agency or designee to the Director and shall include: (a) identification of the information or classes of documents for which such waiver is sought, (b) a detailed explanation of why the waiver should be granted, (c) the agency's best judgment as to the anticipated dissemination of the information or class of documents for which waiver is sought, and (d) the extent to which the information subject to the waiver may form a basis for classification of other documents. (1-504)

10. Material other than Documents. The classification and associated markings prescribed by this Directive for documents shall, where practicable, be affixed to material other than documents by stamping, tagging, or other means. If this is not practicable, recipients shall be made aware of the classification and associated markings by notification or other means as prescribed by the agency. (1-5)

11. Transmittal Documents. A transmittal document shall indicate on its face the highest classification of the information transmitted by it and the classification, if any, of the transmittal document. For example, an unclassified transmittal document should bear a notation substantially as follows:
"UNCLASSIFIED WHEN CLASSIFIED ENCLOSURE IS DETACHED." (1-5)

12. Marking Foreign Government Information. Except in those cases where such markings would reveal intelligence information, foreign government information incorporated in United States documents shall, whenever practicable, be identified in such manner as to ensure that the foreign government information is not declassified prematurely or made accessible to nationals of a third country without consent of the originator. Documents classified by a foreign government or an international organization of governments shall, if the foreign classification is not in English, be marked with the equivalent United States classification. Foreign government information not classified by a foreign government or an international organization of governments but provided to the United States in confidence by a foreign government or by an international organization of governments shall be classified at an appropriate level and shall be marked with the United States classification accordingly.

(1-5)

H. Additional Markings Required. In addition to the marking requirements in paragraph G, the following markings shall, as appropriate, be displayed prominently on classified information. When display of these additional markings is not practicable, their applicability to the information shall be included in the written notification of the assigned classification. (1-5)

1. Restricted Data or Formerly Restricted Data. For classified information containing Restricted Data or Formerly Restricted Data as defined in the Atomic Energy Act of 1954, as amended, such markings as may be prescribed by the Department of Energy in regulations issued pursuant to the Act shall be applied.

/ 2. Intelligence Sources and Methods Information. For classified information involving intelligence sources or methods:

"WARNING NOTICE - INTELLIGENCE SOURCES AND METHODS
INVOLVED"

3. Dissemination and Reproduction Notice. For classified information that the originator has determined, pursuant to Section 1-506 of the Order, should be subject to special dissemination or reproduction limitations, or both, a statement placing the user on notice of the restrictions shall be included in the text of the document or on its cover sheet; e.g., "Reproduction requires approval of originator," or "Further dissemination only as directed by (Insert appropriate office or official)." (1-506)

Handwritten:
1-506
1-506

I. Abbreviations. Classified documents that are transmitted electrically may be marked with abbreviations or codes in a single line to satisfy the requirements of each subsection of paragraphs G and H in a manner consistent with economic and

efficient use of electrical transmission systems, provided that the full text represented by each such abbreviation or code and its relation to each subsection of paragraphs G and H is readily available to each expected user of the classified documents affected.

II. DERIVATIVE CLASSIFICATION

A. Definition. "Derivative classification" as used in the Order means a determination that information is in substance the same as information that is currently classified, and a designation of the level of classification. (2-1)

B. Responsibility. Derivative application of classification markings is a responsibility of those who incorporate, paraphrase, restate, or generate in new form information that is already classified, and of those who apply markings in accordance with instructions from an authorized classifier or in accordance with an authorized classification guide. Persons who apply derivative classification markings should take care to determine whether their paraphrasing, restating, or summarizing of classified information has removed the basis for classification. Where checks with originators or other appropriate inquiries show that no classification or a lower classification than originally assigned is appropriate, the derivative document shall be issued as unclassified or shall be marked appropriately. (2-101 and 2-102)

C. Marking Derivatively Classified Documents. Paper copies of derivatively classified documents shall be marked at the time of origination as follows:

1. The classification authority shall be shown on a "classified by" line; e.g., "Classified by (Insert identity of classification guide)" or "Classified by (Insert source of original classification)." If the classification is derived from more than one source, the single phrase "multiple sources" may be shown, provided that identification of each such source is maintained with the file or record copy of the document; (2-102(c))

2. The identity of the office originating the derivatively classified document shall be shown on the face of the document; (2-102)

3. Dates or events for declassification or review shall be carried forward from the source material or classification guide and shown on a "declassify on" or "review for declassification on" line. If the classification is derived from more than one source, the latest date for declassification or review applicable to the various source materials shall be applied to the new information; (2-102(c))

4. The classification marking provisions of Section I.G. 7 through 9 and I.G. 12 are also applicable to derivatively classified documents; (2-102(c))

5. Any additional marking under Section I.H. of this Directive appearing on the source material shall be carried forward to the new material when appropriate; (2-102(c)) and

6. Any abbreviation or code permitted under Section I. I. of this Directive may be applied to derivatively classified documents.

D. Classification Guides.

1. Requirements. Classification guides issued pursuant to Section 2-2 of the Order shall:

a. Identify the information to be protected, using categorization to the extent necessary to ensure that the information involved can be identified readily and uniformly; (2-201)

b. State which of the classification designations (i.e., Top Secret, Secret, or Confidential) applies to the information; (2-201)

c. State the duration of classification in terms of a period of time or future event. When such duration is to exceed six years, the reason for such extension shall be provided in the guide. However, if the inclusion of classified reasons would result in a level of classification for a guide that would inhibit its desirable and required dissemination, those reasons need be recorded only on or with the record copy of the guide; (2-201) and

d. Indicate how the designations, time limits, markings, and other requirements of the Order and this Directive are to be applied, or make specific reference to agency regulations that provide for such application. (2-201)

2. Review and Record Requirements. Each classification guide shall be kept current and shall be reviewed at least once every two years. Each agency shall maintain a list of all its classification guides in current use. (2-2)

III. DECLASSIFICATION AND DOWNGRADING

A. Record Requirements. Agencies and officials granted original classification authority pursuant to Section 1-2 of the Order shall maintain a record of individuals or positions designated as declassification authorities pursuant to Section 3-103 of the Order. (3-103)

B. Declassification Policy. In making determinations under Section 3-303 of the Order, officials shall respect the intent of the Order to protect foreign government information and confidential foreign sources. (3-303)

C. Systematic Review for Declassification.

1. Systematic Review Guidelines.

a. U.S. Originated Information. Systematic review guidelines shall be kept current through review at least every two years, unless earlier review for revision is requested by

the Archivist of the United States. (3-402)

b. Foreign Government Information. Within one year after the effective date of the Order, heads of affected agencies shall, in consultation with the Archivist and in accordance with the provisions of Section 3-404 of the Order, develop systematic review guidelines for thirty-year old foreign government information. These guidelines shall be kept current through review by agency heads at least once every two years, unless earlier review for revision is requested by the Archivist of the United States. A copy of these guidelines and any revisions thereto shall be furnished to the Information Security Oversight Office. Upon request, the Department of State shall provide advice and such assistance as is necessary to effect foreign government coordination of the guidelines. (3-404)

2. Systematic Review Procedures.

a. Scheduling for Systematic Review. Classified non-permanent records that are scheduled to be retained for more than twenty years need not be systematically reviewed but shall be reviewed for declassification upon request. Within sixty days of the effective date of the Order, heads of agencies and officials designated by the President pursuant to Section 1-2 of the Order shall direct that all classified records twenty years old or older, whether held in storage areas by the

agency or in Federal records centers, be surveyed to identify those that require scheduling for future disposition. Such scheduling shall be accomplished within two years of the effective date of the Order. (3-401)

b. Extending Classification After Review.

(1) Foreign Government Information. Agency heads listed in Section 1-2 and officials designated by the President pursuant to Section 1-201 of the Order may extend the classification of foreign government information beyond 30 years, but only in accordance with Sections 3-3 and 3-404. This authority may not be delegated. When classification is extended beyond 30 years, a date no more than ten years later shall be set for declassification or for the next review. Subsequent reviews for declassification shall be set at no more than ten year intervals. (3-404)

(2) Waivers of Further Review. Heads of agencies listed in Section 1-2 and officials designated by the President pursuant to Section 1-201 of the Order may request from the Director of the Oversight Office a waiver of the ten-year review requirement for both U.S.-originated and foreign government information. Such requests shall include a personal certification by the agency head that the classified information for which the waiver is sought has been systematically reviewed as required, and that a definitive date for declassification could not be determined. Waivers should not be requested unless

the results of the review have established an identifiable need to continue classification for a period in excess of twenty additional years. Each request shall include a recommended date or event for subsequent review or automatic declassification. (3-401)

c. Assistance to the Archivist.

(1) The head of each agency shall designate experienced personnel to assist the Archivist of the United States in the systematic review of twenty year-old U.S.-originated information and thirty year-old foreign government information accessioned into the National Archives of the United States. Such personnel shall:

(a) Provide guidance and assistance to National Archives employees in identifying and separating documents and specific categories of information within documents that are deemed to require continued classification; and

(b) Submit to the head of the agency recommendations for continued classification that identify documents or specific categories of information so separated.

(2) The head of the agency shall then make the determinations personally and in writing required under Section 3-401 of the Order as to which documents or categories of information require continued protection. The agency shall inform the Archivist of the United States of this determination. (3-4)

d. Special Procedures. Special procedures for systematic review and declassification of classified cryptologic information and classified information concerning the identities of clandestine human agents promulgated in accordance with the provisions of Section 3-403 of the Order shall be binding on all agencies. (3-403)

e. Foreign Relations Series. In order to permit the editors of Foreign Relations of the United States to meet their mandated goal of publishing twenty years after the event, heads of departments and agencies are requested to assist the editors in the Department of State by facilitating access to appropriate classified materials in their custody and by expediting declassification review of items from their files selected for publication. (3-4)

D. Procedures for Mandatory Declassification Review.

1. U.S.-Originated Information.

a. Action on an Initial Request. Each agency shall designate, in its implementing regulations published in the Federal Register, offices to which requests for mandatory review for declassification may be directed. Upon request for declassification pursuant to Section 3-5 of the Order, agencies shall apply the following procedures:

(1) The designated offices shall acknowledge receipt of the request.

(2) Whenever a request does not reasonably describe the information sought, the requestor shall be notified that unless additional information is provided or the scope of the request is narrowed, no further action will be undertaken. (3-501)

b. Information in the Custody of and under the Exclusive Declassification Authority of an Agency. The designated office shall determine whether, under the declassification provisions of Section 3-3 of the Order, the requested information may be declassified and, if so, shall make such information available to the requestor, unless withholding is otherwise warranted under applicable law. If the information may not be released in whole or in part, the requestor shall be given a brief statement as to the reasons for denial, a notice of the right to appeal the determination to a designated agency appellate authority (including name, title, and address of such authority), and a notice that such an appeal must be filed with the agency within sixty days in order to be considered. (3-501)

c. Information Classified by Agencies other than the Custodial Agency. When an agency receives a request for information in its custody that was classified by another agency, it shall forward the request to the appropriate agency for review, together with a copy of the document containing the information requested where practicable, and with its recommendation to withhold any of the information where appropriate.

Unless the agency that classified the information objects on grounds that its association with the information requires protection, the agency that received the request shall also notify the requestor of the referral. After the agency that classified the information completes its review (in coordination with other agencies that have a direct interest in the subject matter), a response shall be sent to the requestor in accordance with the procedures described above. If requested, the agency shall also communicate its determination to the referring agency. (3-501)

d. Action on Appeal. The head of an agency or a designee shall establish procedures to act within thirty days upon all appeals of denials of requests for declassification. These procedures shall provide for meaningful appellate consideration, shall be forwarded to the Oversight Office for review, and shall be published in the Federal Register. In accordance with these procedures, agencies shall determine whether continued classification is required in whole or in part, notify the requestor of the determination, and make available any information that is declassified and otherwise releasable. If continued classification is required under the provisions of Section 3-3 of the Order, the requestor shall be notified of the reasons therefor. If requested, the agency shall also communicate the appeal determination to any referring agency.

(3-5 and 5-404(c))

e. Fees. If the request requires the rendering of services for which fair and equitable fees may be charged pursuant to Title 5 of the Independent Offices Appropriation Act, 65 Stat. 290, 31 U.S.C. 483a (1976), such fees may be imposed at the discretion of the agency rendering the services. Schedules of such fees shall be published in the Federal Register. (3-501)

2. Foreign Government Information. Except as provided hereinafter, requests for mandatory review for the declassification of classified documents that contain foreign government information shall be processed and acted upon in accordance with the provisions of Section D.1 above. If the agency receiving the request is also the agency that initially received or classified the foreign government information, it shall determine whether the foreign government information in the document may be declassified and released in accordance with agency policy or guidelines, after consulting with other agencies that have subject matter interest as necessary. If the agency receiving the request is not the agency that received or classified the foreign government information, it shall refer the request to the appropriate agency, which shall take action as described above, including its recommendation to withhold any of the information where appropriate. In those cases where

agency policy or guidelines do not apply, consultation with the foreign originator through appropriate channels may be advisable prior to final action on the request. (3-5)

IV. SAFEGUARDING

A. General. Information classified pursuant to Executive Order 12065 or prior Orders shall be afforded a level of protection against unauthorized disclosure commensurate with its level of classification. (4-1)

B. General Restrictions on Access.

1. Determination of Need-to-Know. Classified information shall be made available to a person only when the possessor of the classified information establishes in each instance, except as provided in Section 4-3 of the Order, that access is essential to the accomplishment of official Government duties or contractual obligations. (4-101)

2. Determination of Trustworthiness. A person is eligible for access to classified information only after a showing of trustworthiness as determined by agency heads based upon appropriate investigations in accordance with applicable standards and criteria. (4-101)

C. Access by Historical Researchers and Former Presidential Appointees. Agencies shall obtain (1) written agreements from requestors to safeguard the information to which they are given access as permitted by the Order and this Directive, and (2) written consent to the agency's review of their notes and manuscripts for the purpose of determining that no classified information is contained therein. A determination of trustworthiness is a pre-condition to a requestor's access. If the access requested by historical researchers and former Presidential appointees requires the rendering of services for which fair and equitable fees may be charged pursuant to Title 5 of the Independent Offices Appropriations Act, 65 Stat. 290, 31 U.S.C. 483a (1976), the requestor shall be so notified and the fees may be imposed. (4-3)

D. Dissemination.

Except as otherwise provided by Section 102 of the National Security Act of 1947, 61 Stat. 495, 50 U.S.C. 403 (1970 & Supp. V 1975), classified information originating in one agency may not be disseminated outside any other agency to which it has been made available without the consent of the originating agency. (4-403)

E. Accountability Procedures.

1. Top Secret. Top Secret control officers shall be designated

to receive, transmit, and maintain current access and accountability records for Top Secret information. An inventory of Top Secret documents shall be made at least annually; however, heads of agencies may authorize the annual inventory of Top Secret documents in repositories, libraries, or activities that store large volumes of such information to be limited to documents to which access has been afforded within the past twelve months. The Director of the Oversight Office may grant a waiver with respect to the requirement of an annual inventory for storage systems involving large volumes of information if security measures with respect to such storage systems are adequate to prevent access by unauthorized persons. (4-103)

2. Secret and Confidential. Secret and Confidential classified information shall be subject to such controls and current accountability records as the head of the agency may prescribe. (4-103)

F. Storage. Classified information shall be stored only in facilities or under conditions adequate to prevent unauthorized persons from gaining access to it. (4-103)

1. Top Secret. Top Secret information shall be stored in a GSA-approved, safe-type, steel file cabinet having a built-in,

three-position, dial-type combination lock or within an approved vault, or vault-type room, or in other storage facility that meets the standards for Top Secret established under the provisions of subsection 3 below. In addition, heads of agencies shall prescribe such additional, supplementary controls as are deemed appropriate to restrict unauthorized access to areas where such information is stored. (4-103)

2. Secret and Confidential. Secret and Confidential information shall be stored in a manner and under the conditions prescribed for Top Secret information, or in a container or vault that meets the standards for Secret or Confidential, established pursuant to the provisions of subsections 3 or 4 below. (4-103)

3. Standards for Security Equipment. The General Services Administration shall, in coordination with agencies originating classified information, establish and publish uniform standards, specifications, and supply schedules for containers, vaults, alarm systems, and associated security devices suitable for the storage and protection of all categories of classified information. Any agency may establish more stringent standards for its own use. Whenever new security equipment is procured, it shall be in conformance with the standards and specifications referred to above and shall, to the maximum extent practicable, be of the type designated on the Federal Supply Schedule, General Services Administration. (4-103)

4. Exception to Standards for Security Equipment.

a. Secret and Confidential information may also be stored in a steel filing cabinet having a built-in, three-position, dial-type, changeable combination lock, or a steel filing cabinet equipped with a steel lock bar, provided it is secured by a three-position, changeable, combination padlock approved by GSA for the purpose. The storage of Secret information in the steel filing cabinets described above requires the use of such supplementary controls as the head of the agency deems necessary to achieve the degree of protection warranted by the sensitivity of the information involved. (4-103)

b. For protection of bulky Secret and Confidential material (for example, weaponry containing classified components) in magazines, strong rooms, or closed areas, access openings may be secured by changeable combination or key-operated, high-security padlocks approved by GSA. When key-operated padlocks are used, keys shall be controlled in accordance with subsection 6 below. (4-103)

5. Combinations.

a. Equipment in Service. Combinations to dial-type locks shall be changed only by persons having appropriate security clearance, and shall be changed whenever such equipment is placed in use, whenever a person knowing the combination no

longer requires access to the combination, whenever a combination has been subjected to possible compromise, whenever the equipment is taken out of service, and at least once every year. Knowledge of combinations protecting classified information shall be limited to the minimum number of persons necessary for operating purposes. Records of combinations shall be classified no lower than the highest level of classified information to be stored in the security equipment concerned. (4-103)

b. Equipment Out of Service. When security equipment having a built-in combination lock is taken out of service, the lock shall be reset to the standard combination 50-25-50. Combination padlocks shall be reset to the standard combination 10-20-30. (4-103)

6. Keys. Heads of agencies shall establish administrative procedures for the control and accountability of keys and locks whenever key-operated, high-security padlocks are utilized. The level of protection provided such keys shall be equivalent to that afforded the classified information being protected. Under no circumstances may keys be removed from the premises. They shall be stored in a secure container. (4-103)

7. Responsibilities of Custodians. Persons entrusted with classified information shall be responsible for providing protection and accountability for such information at all times

and for locking classified information in approved security equipment whenever it is not in use or under direct supervision of authorized persons. Custodians shall follow procedures that ensure unauthorized persons do not gain access to classified information. (4-103)

8. Inspections. Individuals charged with the custody of classified information shall conduct the necessary inspections within their areas to ensure adherence to procedural safeguards prescribed to protect classified information. Agency security officers shall ensure that periodic inspections are made to determine whether procedural safeguards prescribed by agency regulations are in effect at all times. (4-103)

6. Transmittal.

1. Preparation and Receipting. Classified information shall be enclosed in opaque inner and outer covers before transmitting. The inner cover shall be a sealed wrapper or envelope plainly marked with the assigned classification and addresses of both sender and addressee. The outer cover shall be sealed and addressed with no identification of the classification of its contents. A receipt shall be attached to or enclosed in the inner cover, except that Confidential information shall require a receipt only if the sender deems it necessary. The receipt

shall identify the sender, addressee, and the document, but shall contain no classified information. It shall be immediately signed by the recipient and returned to the sender. Any of these wrapping and receipting requirements may be waived by agency heads under conditions that will provide adequate protection and prevent access by unauthorized persons. (4-103)

2. Transmittal of Top Secret. The transmittal of Top Secret information shall be by specifically designated personnel, by State Department diplomatic pouch, by a messenger-courier system specially created for that purpose, or over authorized secure communications circuits. (4-103)

3. Transmittal of Secret. The transmittal of Secret material shall be effected in the following manner:

a. The Fifty States, District of Columbia, and Puerto Rico. Secret information may be transmitted within and between the fifty States, District of Columbia, and Puerto Rico by one of the means authorized for Top Secret information, by the United States Postal Service registered mail, or by protective services provided by United States air or surface commercial carriers under such conditions as may be prescribed by the head of the agency concerned. (4-103)

b. Canadian Government Installations. Secret information may be transmitted to and between United States Government and Canadian Government installations in the fifty States, the District of Columbia, and Canada by United States and Canadian registered mail with registered mail receipt. (4-103)

c. Other Areas. Secret information may be transmitted from, to, or within areas other than those specified in subsections a or b above by one of the means established for Top Secret information, or by United States registered mail through Army, Navy, or Air Force Postal Service facilities provided that the information does not at any time pass out of United States citizen control and does not pass through a foreign postal system. Transmittal outside such areas may also be accomplished under escort of appropriately cleared personnel aboard United States Government and United States Government contract vehicles or aircraft, ships of the United States Navy, civil service manned U.S. Naval ships, and ships of U.S. Registry. Operators of vehicles, captains or masters of vessels, and pilots of aircraft who are United States citizens and who are appropriately cleared may be designated as escorts. (4-103)

4. Transmittal of Confidential. Confidential information shall be transmitted within and between the fifty States, the District of Columbia, the Commonwealth of Puerto Rico, and

U.S. territories or possessions by one of the means established

Approved For Release 2001/08/09 : CIA-RDP94B01041R000300010002-4

for higher classifications, or by United States Postal Service certified, first class, or express mail service when prescribed by an agency head. Outside these areas, Confidential information shall be transmitted only as is authorized for higher classifications. (4-103)

H. Loss or Possible Compromise. Any person who has knowledge of the loss or possible compromise of classified information shall immediately report the circumstances to an official designated by the agency or organization. In turn, the originating agency shall be notified about the loss or compromise in order that a damage assessment may be conducted and appropriate measures taken to negate or minimize any adverse effect of such a compromise. An immediate inquiry shall be initiated by the agency under whose cognizance the loss or compromise occurred, for the purpose of taking corrective measures and appropriate administrative, disciplinary, or legal action. (4-103)

I. Destruction. Non-record classified information that has served its intended purpose shall be destroyed in accordance with procedures and methods approved by the head of the agency. The method of destruction selected must preclude recognition or reconstruction of the classified information or material. (4-103)

V. IMPLEMENTATION AND REVIEW

Challenges to Classification. Agency programs established to implement the Order shall encourage holders of classified information to challenge classification in cases where there is reasonable cause to believe that information is classified unnecessarily, improperly, or for an inappropriate period of time. These programs shall provide for action on such challenges or appeals relating thereto within thirty days of receipt and for notification to the challenger of the results. When requested, anonymity of the challenger shall be preserved. (5-404(i))

VI. GENERAL PROVISIONS

A. Notification. Notification of unscheduled changes in classification or changes in duration of classification may be by general rather than specific notice. (4-102)

B. Posted Notice. If prompt re-marking of large quantities of information would be unduly burdensome, the custodian may attach a change of classification notice to the storage unit in lieu of the marking action otherwise required. Each notice shall indicate the change, the authority for the action, the date of the action, and the storage units to which it applies.

Items permanently withdrawn from such storage units shall be marked promptly in accordance with the marking provisions herein. However, when information subject to a posted downgrading, upgrading, or declassification notice is withdrawn from one storage unit solely for transfer to another, or a storage unit containing such information is transferred from one place to another, the transfer may be made without marking if the notice is attached to or remains with each shipment.

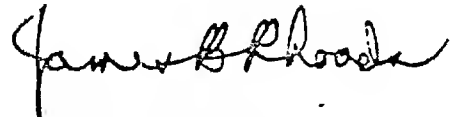
(4-102)

C. Downgrading, Declassification, and Upgrading Markings.

Whenever a change is made in the original classification or in the dates of downgrading or declassification of any classified information, it shall be promptly and conspicuously marked to indicate the change, the authority for the action, the date of the action, and the identity of the person taking the action. Earlier classification markings shall be cancelled when practicable. (4-102)

D. Combat Operations. The provisions of the Order and this Directive with regard to dissemination, transmittal, or safeguarding of classified information may be so modified in connection with combat or combat-related operations as the Secretary of Defense may by regulations prescribe. (4-103)

E. Publication and Effective Date. This Directive shall be published in the Federal Register. It shall become effective December 1, 1978. (6-204)



JAMES B. RHOADS
Acting Chairman
Interagency Classification
Review Committee

October 2, 1978